

Policy and Procedures  
Joint Highway Research Advisory Council  
University of Connecticut  
Connecticut Department of Transportation

February 2004 Revisions Approved on June 2, 2004

Originally Published: June 1971  
Last Revised September 2004 with Annual Update on Council Membership

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Policy and Procedures  
Joint Highway Research Advisory Council  
University of Connecticut  
Connecticut Department of Transportation

I. Authority

Section 13a-256 of the 1961 Supplement to the General Statutes authorizes an annual \$250,000 highway fund allotment to be used for a continuing joint research program between the Connecticut Department of Transportation, hereafter referred to as ConnDOT, and the University of Connecticut, hereafter referred to as the University (see Attachment 1). By authority of Section 13-69a of the 1961 Supplement to the General Statutes, the then Highway Department entered into the "Agreement for a Continuing Cooperative Highway Research Program to be undertaken by the Connecticut Highway Department and the University of Connecticut" (see Attachment 2). Hereafter, the Continuing Cooperative Highway Research Program shall be referred to as CCHRP.

This Agreement created the Joint Highway Research Advisory Council, hereafter referred to as the Council. This body consists of eight members: four designated by the Commissioner of Transportation, and four from the Civil and Environmental Engineering Department of the University designated by the President of the University. They serve at the discretion of the designator. The Council determines projects to be studied and the priority of each study within available funds.

ConnDOT appointments to the Council are indefinite. University appointments are generally for a three-year period.

## II. Organization - Joint Highway Research Advisory Council

The Council is headed by a Chairman elected annually at the first meeting of a current fiscal year to serve for a period of one year. The chair alternates between ConnDOT and the University. The Chairman's duties are to preside at Council meetings, held quarterly, and to conduct such Council business as is required.

A Vice-Chairman is also elected annually for a one-year term at the same time as a Chairman is elected. If the Chairman is a University member, the Vice-Chairman is from ConnDOT. The Vice-Chairman usually succeeds the Chairman to the chair.

The Director of the Connecticut Transportation Institute, hereafter referred to as CTI, directs this Program under the guidance of the Council. Prior to 1996, the Head of the Civil Engineering Department was assigned this role.

The ConnDOT Chief Engineer shall designate a non-voting, ex-officio Council Secretary.

## III. Order of Business

The Council meets quarterly to review the Program and act on new research proposals. The following order of business is followed, but can be altered at the discretion of the Council if the need arises.

- a. Reading and acceptance of the minutes of the previous meeting

b. Presentation of financial report by the University

c. Progress reports on current research projects

d. Presentation of proposed research projects

e. Miscellaneous items of concern to the Council.

Specific items under b, c and d above are outlined in the following sections.

#### IV. Financial Report

The University shall maintain financial records and bill ConnDOT quarterly for authorized work performed. Each expenditure shall be coded to an approved project. The Director of CTI, or his/her designee, shall prepare and present the financial report to the Council.

Quarterly, financial statements for individual projects will be provided to PIs by CTI. PIs are ultimately responsible for project budgets and must confirm charges have been correctly entered. Project negative balances in CCHRP projects will not be covered by the program. Project budgets are the responsibility of the PI and any negative balance must be reimbursed to CCHRP by the PI from discretionary research funding or other sources.

#### V. Reports

##### 1. Progress Reports

Each approved project is reported, in writing, to the Council at the quarterly meeting using the format delineated in Attachment 4. The written progress reports become a part of the minutes of the Council meeting.

The Council Secretary solicits additional comments on Progress Reports from affected ConnDOT staff personnel. These are, in turn, forwarded to the researchers at the earliest possible date for their consideration and use.

These reports present the current status of a project, problems encountered, delays, which might put the work behind schedule, etc.

## 2. Final Reports

At the completion of any project, a final report shall be prepared, in accordance with Item 6 of the above-mentioned CCHRP Agreement.

Only the final report production cost may be charged to a project after the project's end date.

Draft copies are sent to ConnDOT for review and comments. ConnDOT must respond within sixty days, or the University can publish the report without consideration of ConnDOT comments. On publication of a final report, the Council closes the project.

If no final report has been submitted 12 months after the project end date, the Council has the option to close the project without a final

report. New proposals from PIs and co-PIs of such a project may not be considered for funding in the next three funding cycles.

### 3. Administrative Report

Annually, at the close of each fiscal year, the University shall prepare an Administrative Report, which summarizes Council expenditures and the status of each on-going project for the previous fiscal year.

### 4. Submission of Reports and Derivative Works to Council

Project PIs and co-PIs must submit copies of abstracts, presentations, patent applications, patents, and papers stemming directly, or indirectly, from Council funding. This requirement must still be met both during, and after, projects close. The following acknowledgement must be included on all papers and presentations:

(when the research is fully supported by JHRAC), "This research was sponsored by the Joint Highway Research Advisory Council of the University of Connecticut and the Connecticut Department of Transportation through Project xx-x."

(when the research is partially supported by JHRAC), "This research was sponsored, in part, by the Joint Highway Research Advisory Council of the University of Connecticut and the Connecticut Department of Transportation through Project xx-x."

## VI. Research Proposals

Research proposals are well thought-out documents that establish in clear, concise terms the necessity of the research undertaking, definite project objectives, and a systematic work plan designed to attain the project objectives. These documents should contain, but are not limited to, the following:

1. Project Identification - the project title and the name or names of the principal investigator(s).
2. Problem Statement - a clear definitive statement of the problem to be solved.
3. Background and significance of work.
4. Objectives of the Study - In clear, concise terms, what are the goals of the proposed work?
5. Implementation - Where can the goals of the proposed work, once obtained, be used to affect some betterment? Also, define the betterments or benefits to be obtained from the work.
6. Work Plan - This plan should describe the structure of the proposed work to meet the study objective.
7. Work Schedule - Should illustrate the work progress as outlined in the Work Plan. Benchmark plateaus should be stated to ensure that the study progress is in line with stated objectives.



8. Cost Estimate - A summary of estimated costs for the entire study period, the current fiscal years and subsequent fiscal years shall be shown. This estimate should include salaries, materials, travel, etc.

Research proposals are submitted to the Council Secretary at least 30 days prior to submission to the Council. Beginning in 2000, proposals and pre-proposals (see next section) are required to be submitted in electronic form (Adobe PDF preferred). Review and comments by affected ConnDOT staff personnel are solicited. Final ConnDOT comments and recommendations are forwarded to the Council.

A preliminary or full proposal submitted by a PI, or co-PI, with an outstanding CCHRP final report or negative account balance will not be reviewed. A final report is outstanding until submitted for review. Six months after a project ends, if the final report has not been submitted, a project PI will receive a written notice and be reminded of this policy. If no final report has been submitted 12 months after the project end date, the Council has the option to close the project without a final report. New proposals from PIs and co-PIs of such a project may not be considered for funding in the next three funding cycles.

#### Approval of Research Proposals

Proposals that merit consideration are approved by majority vote of the Council. The procedure followed by the Council to develop its annual program starts with a solicitation of research needs. Needs are developed into two-page, pre-proposals (Attachment 6). Pre-proposals are screened by the Council (Attachment 7). Successful pre-proposals are developed into full proposals,

which next undergo a peer review (Attachment 8), and are finally ranked and voted on by the full Council (Attachment 9).

Proposals for projects that are continuing from the previous year are not subject to this four-step process. The Council considers the proposals for continuing projects at the same time that pre-proposals are screened. The Council makes early decisions concerning funding for continuing projects in order to estimate the remaining funds available for new projects.

Council's approved annual work program is prepared into a bound publication. Beginning in April 2000, University CTI staff prepares both hard copy and electronic versions (Adobe PDF) for distribution through the Council Secretary.

Council projects are designated by calendar year followed by the order of the approved Council project. Examples: Project 99-1 was approved in calendar 1999 and was the first project approved in that year; Project 2000-4 was the fourth project approved in calendar 2000. Project numbers may be simply assigned during the work program development cycle, before approval by Council, to aid in organizing the proposal materials for the Council. In this case, approved projects would not necessarily be consecutively numbered.

#### Origin of Research Proposals

Any University or ConnDOT personnel may present a proposal to the Council. University personnel shall submit proposals through the Director of CTI; ConnDOT personnel shall submit proposals through the Council Secretary. Ideas and research problems are to be encouraged from all areas.

### Modifications of Proposals or Work Plans

The Council, after review of approved projects, may at any time vote to change a proposal or work plan. It might, if it so elects, cancel an on-going project, which is not meeting the objectives as stated.

The addition of senior personnel, a reduction of graduate student funding, or an increase in PI/co-PI salary to a project budget must be approved, in advance, by the Council.

### VII. Patents

New concepts, which evolve into items, which may have a potential market value, are to be patented in a manner to protect the interests of the State of Connecticut. Project PIs and co-PIs must submit copies of patents stemming directly or indirectly from Council funding.

### VIII. Travel

The following applies to all travel funded by Council. All University of Connecticut travel policies and procedures are incorporated herein by reference.

All anticipated required travel funding must be included in the original project budget. In doing so, there will be two general categories of travel to be considered:

1. Travel necessary for the conduct of the project is reimbursable up to the budgeted amount without special approval of the Council. Such travel

must be clearly justified in the proposal narrative. The proposal budget should differentiate between in-state and out-of-state travel and should also break down expenses for air/train fare, auto reimbursement, accommodations, and meals.

2. Up to a maximum of \$1,000 per project year may be used for travel for the purpose of making presentations on JHRAC research at professional meetings. The Director of CTI is recognized by the Office of Sponsored Programs as the Principal Investigator for the CCHRP. Therefore, in addition to a University employee's primary department, the Director of CTI must approve, in advance, out-of-state travel requests for project-related, professional-meeting travel that are chargeable to CCHRP projects.

Any departure from this policy must be approved by the Council prior to planning the travel and will normally be considered at a regularly scheduled Council meeting. Such departure will be approved only in extraordinary circumstances.

#### IX. Changes in Council Policy and Procedures

Any change in Council Policy and Procedure, when determined to be in the best interest of the State, shall be by majority vote of all Council Members.

**ANTICIPATED ANNUAL TIMETABLE:**

1 July	Request for pre-proposals
15 September	Pre-proposals due to JHRAC
30 September	JHRAC meeting is for selection of pre-proposals to be developed into full proposals. JHRAC shall also determine if any of the continuing projects require peer review due to significant changes in scope.
30 September - 30 November	Selection & Solicitation of Peer Reviewers (Peer reviewer selection committee meets during this period.)
30 November	Full Proposals due (CTI distributes proposals with interactions to reviewers.)
15 January	Peer Reviews due
30 January	JHRAC meeting, relevance reviews & determination of awards

**Council Procedural Guidance - Frequently Asked Questions:**

1. Should Council release results of peer review to PI's prior to their selection?  
Answer: No. [Council Minutes, 3-16-2000]
2. Should the University follow National Science Foundation guidelines on faculty salary maximums for the JHRAC Work Program?  
Answer: Council has no objection to UConn following those guidelines, but it will not require this of the University. [Council Minutes, 3-16-2000]
3. Should PI's be afforded an opportunity to comment on the reviewer's comments?  
Answer: No, Peer Review materials may be released only after Council's project-selection decisions are made for the 'new' JHRAC projects. [Council Minutes, 3-16-2000]

# THE GENERAL STATUTES OF CONNECTICUT

REVISION OF 1958

*Revised to January 1, 1995*



**Sec. 13a-256. Highway research program.** For each fiscal year, there may be allocated two hundred and fifty thousand dollars out of funds available to the commissioner not otherwise specifically allocated, to be used for a continuing joint highway research program. The commissioner and the president of The University of Connecticut are authorized to make agreements to establish such controls as may be mutually agreeable for the determination of the research to be undertaken in accordance with such program and to determine their respective responsibilities relative to administration, financing and the publication of findings. If suitable agreements can be entered into prior to the time that allocation of funds for any fiscal year is made, said commissioner may furnish the funds to continue such program from funds next to be allocated. Funds remaining unexpended at the end of each fiscal year shall revert to the unappropriated funds available to the commissioner.

(1961, P.A. 495; 1963, P.A. 226, S. 256; P.A. 86-300, S. 1, 3.)

History: 1963 act replaced previous provisions: See title history; P.A. 86-300 increased allocation for research program from fifty thousand to two hundred fifty thousand dollars.

*Published by Authority of the State*

AGREEMENT  
FOR A CONTINUING COOPERATIVE HIGHWAY RESEARCH  
PROGRAM TO BE UNDERTAKEN BY THE  
CONNECTICUT HIGHWAY DEPARTMENT  
AND  
THE UNIVERSITY OF CONNECTICUT

THIS AGREEMENT, made and concluded at Wethersfield, Connecticut, this 25th day of June AD, 1962, by and between agencies of the State of Connecticut, the Connecticut Highway Department, acting through the State Highway Commissioner, hereinafter called the Highway Department, and the University of Connecticut, acting through its President, hereinafter called the University, provides for a continuing cooperative research program under the authority of Section 13-69a of the 1961 Supplement to the General Statutes.

WITNESSETH, THAT:

WHEREAS, the Highway Department has need for the technical facilities and professional services of the University relating to the design of highways and structures appurtenant thereto, and

WHEREAS, the Highway Department is authorized to procure such technical assistance in accordance with Section 13-68 of the General Statutes, Revision 1958, and

WHEREAS, the University agrees to supervise and undertake such research work, experimental laboratory and field tests as may be agreed to be advisable and to report the results of these activities to the Highway Department;

NOW, THEREFORE, It is Mutually Agreed That:

1. This continuing cooperative highway research program will be under the general administration of a Joint Highway Research Advisory Council, hereinafter called the Council, consisting of eight members. Four members shall be designated by the Highway Commissioner and four members of the Civil Engineering Department of the University shall be designated by the President of the University. Members of the Council shall serve at the discretion of the designator.
2. The Council shall determine the projects to be studied, priority of each study and this amount of money to be used for each project subject to limitation of Sec. 13-69a of the 1961 Supplement to the General Statutes and amendments thereto, review progress and final reports and approve final reports prior to release.
3. The University as its contribution toward this continuing cooperative research program will undertake the proposed research and furnish available space, equipment and facilities for the effective prosecution of the work.
4. The University may employ qualified personnel to administer, supervise and perform work necessary to accomplish the approved research studies.
5. The University will not bill the Highway Department for any cost incurred in connection with the furnishing of the available space, advisory personnel and administration overhead.

6. The University will submit to the Highway Department a brief report of the progress made during each quarter of the fiscal year and, subject to approval of the Council, will submit a final report on each of the projects as soon as the material can be compiled.
7. The Highway Department will provide from its budgeted funds such sums as may be authorized under Section 13-69a of the 1961 Revision of the General Statutes and amendments thereto as may be necessary to cover its share of the cost of conducting this research program and in accordance with quarterly bills from the University, will reimburse the University for the Highway Department's share of the cost of work performed by the University and approved by the Highway Department, such costs may include but are not limited to salaries of personnel directly engaged in the projects and materials, special equipment, gauges, etc., purchased by the University specifically for use on approved projects.
8. The cooperative research program being undertaken under the agreement dated June 8, 1961 will be continued as part of this continuing cooperative research program.
9. The records, data and reports resulting from this work shall be the property of both parties and the publication or release for public inspection of any portion thereof will be made only by mutual agreement.

IN WITNESS WHEREOF, the parties hereto have set their hands and seals the day and year first above mentioned.

WITNESSES:

CONNECTICUT HIGHWAY DEPARTMENT

\_\_\_\_\_  
Sarah Yagoobian

BY \_\_\_\_\_  
Howard S. Ives

\_\_\_\_\_  
Margaret H. Record

THE UNIVERSITY OF CONNECTICUT

\_\_\_\_\_  
Alice A. Prince

BY \_\_\_\_\_  
President  
A. N. Jorgensen

\_\_\_\_\_  
A. Boynton

APPROVED AS TO FORM

APPROVED BY

\_\_\_\_\_  
Deputy Attorney General  
Arthur B. O'Keefe, Jr.  
Date July 9, 1962

\_\_\_\_\_  
Commissioner of Finance & Control  
G. J. Conkling  
Date July 6, 1962



A G R E E M E N T  
FOR A CONTINUING COOPERATIVE HIGHWAY RESEARCH  
PROGRAM TO BE UNDERTAKEN BY THE  
CONNECTICUT HIGHWAY DEPARTMENT  
AND  
THE UNIVERSITY OF CONNECTICUT

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WITNESSETH, THAT:

WHEREAS, the Highway Department has need for the technical facilities and professional services of the University relating to the design of highways and structures appurtenant thereto, and

WHEREAS, the Highway Department is authorized to procure such technical assistance in accordance with Section 13-68 of the General Statutes, Revision of 1958, and

WHEREAS, the University agrees to supervise and undertake such research work, experimental laboratory and field tests as may be agreed to be advisable and to report the results of these activities to the Highway Department;

NOW, THEREFORE, It Is Mutually Agreed That:

1. This continuing cooperative highway research program will be under the general administration of a Joint Highway Research Advisory Council, hereinafter called the Council, consisting of eight members. Four members shall be designated by the Highway Commissioner and four members of the Civil Engineering Department of the University shall be designated by the President of the University. Members of the Council shall serve at the discretion of the designator.

2. The Council shall determine the projects to be studied, priority of each study and the amount of money to be used for each project subject to the limitation of Sec. 13-69a of the 1961 Supplement to the General Statutes and amendments thereto, review progress and final reports and approve final reports prior to release.

3. The University as its contribution toward this continuing cooperative research program will undertake the proposed research and furnish available space, equipment and facilities for the effective prosecution of the work.

4. The University may employ qualified personnel to administer, supervise, and perform work necessary to accomplish the approved research studies,

5. The University will not bill the Highway Department for any cost incurred in connection with the furnishing of the available space, advisory personnel and administration overhead.

6. The University will submit to the Highway Department a brief report of the progress made during each quarter of the fiscal year and, subject to approval of the Council, will submit a final report on each of the projects as soon as the material can be compiled.

7. The Highway Department will provide from its budgeted funds such sums as may be authorized under Section 13-69a of the 1961 Revision of the General Statutes and amendments thereto as may be necessary to cover its share of the cost of conducting this research program and in accordance with quarterly bills from the University, will reimburse the University for the Highway Department's share of the cost of work performed by the University and approved by the Highway Department, such costs may include but are not limited to salaries of personnel directly engaged in the projects and materials, special equipment, gauges, etc. purchased by the University specifically for use on approved projects.

8. The cooperative research program being undertaken under the agreement dated June 8, 1961 will be continued as part of this continuing cooperative research program.

9. The records, data and reports resulting from this work shall be the property of both parties and the publication or release for public inspection of any portion thereof will be made only by mutual agreement.

IN WITNESS WHEREOF, the parties hereto have set their hands and seals the day and year first above mentioned.

## WITNESSES:

Sarah Yagobian  
Sarah Yagobian  
Margaret H. Reccord  
Margaret H. Reccord

Alice A. Prince  
Alice A. Prince  
A. Boynton  
A. Boynton

## CONNECTICUT HIGHWAY DEPARTMENT

By Howard S. Ives  
Howard S. Ives  
State Highway Commissioner (SEAL)

## THE UNIVERSITY OF CONNECTICUT

By A. N. Jorgensen  
President  
A. N. Jorgensen (SEAL)

APPROVED &amp; TO FORM

Arthur B. O'Keefe, Jr.  
Deputy Attorney General  
Arthur B. O'Keefe, Jr.  
Date July 9, 1962

APPROVED BY

G. J. Conkling  
Commissioner of Finance & Control  
G. J. Conkling  
Date JUL 6 1962

## Substitute House Bill No. 5905

## PUBLIC ACT NO. 86-300

AN ACT INCREASING THE FUNDING FOR THE JOINT HIGHWAY RESEARCH PROGRAM BETWEEN THE DEPARTMENT OF TRANSPORTATION AND THE UNIVERSITY OF CONNECTICUT, AND REPEALING A DUPLICATIVE REPORTING REQUIREMENT CONCERNING THE EXPENDITURE OF BOND PROCEEDS AND TRANSPORTATION FUND APPROPRIATIONS.

Section 1. Section 13a-256 of the general statutes and the following is substituted in lieu thereof:

For each fiscal year, there [shall) MAY be allocated [fifty] TWO HUNDRED AND FIFTY thousand dollars out of funds available to the commissioner not otherwise specifically allocated, to be used for a continuing joint highway research program. The commissioner and the president of the University of Connecticut are authorized to make agreements to establish such controls as may be mutually agreeable for the determination of the research to be undertaken in accordance with such program and to determine their respective responsibilities relative to administration, financing and the publication of findings. If suitable agreements can be entered into prior to the time that allocation of funds to continue such program from funds next to be allocated from remaining unappropriated funds available to the commissioner.

Section 2. Section 13b-79 of the general statutes is repealed and the following is substituted in lieu thereof:

[(a) The commissioner of transportation shall report to the joint standing committee of the general assembly having cognizance of matters relating to transportation not later than the last business day of January, April, July and October of each year concerning the manner in which the bond authorizations and transportation fund appropriations are being expended. The report shall include, but not be limited to, a detailed itemization of expenditures to date according to project and equipment, including types of equipment and projections of future allocations according to category of expenditure.

(b)] The commissioner of TRANSPORTATION shall update the ten-year plan for bridge repair and road resurfacing annually and shall submit a report [to said committee] updating such plan TO THE JOINT STANDING COMMITTEE OF THE GENERAL ASSEMBLY HAVING COGNIZANCE OF MATTERS RELATING TO TRANSPORTATION not later than the first business day of January of each year.

Sec. 3. This act shall take effect July 1, 1986.

JHRAC Quarterly Progress Statement

For the Period: \_\_\_\_\_

PROJECT NUMBER:

PROJECT TITLE:

PRINCIPAL INVESTIGATOR(S):

ORIGINAL COMPLETION DATE:

ANTICIPATED COMPLETION DATE:

PROBLEMS ENCOUNTERED:

*Describe any problems encountered that are jeopardizing timely, on-budget completion of the project. Also, if the anticipated completion date is different than the original completion date, indicate the reason(s).*

DESCRIPTION OF PROGRESS FOR THIS QUARTER:

*A short description of progress and an estimate of percent completion should be given for each task listed in the project description.*

*The following format should be used:*

Task Number and Title:

Description of Progress: *(Estimated percent complete as of the date of this Progress Statement)*

ANTICIPATED ACTIVITIES THROUGH END OF NEXT QUARTER:

*A short description of the anticipated activities should be given by task.*

*The following format should be used:*

Task Number and Title:

Description of Anticipated Activity:

Current Joint Highway Research Advisory Council Membership  
Revised for 2005-2006

Connecticut Department of Transportation

Arthur W. Gruhn	Chief Engineer (1)
Keith R. Lane	Director of Research & Materials
L. Brian Castler	Bureau Chief, Finance & Administration (2)
<i>Council Vice Chairman for 2005-2006</i>	
H. James Boice	Bureau Chief, Policy & Planning (3)
James M. Sime	Manager of Research
<i>Council Secretary (*)</i>	

<u>University of Connecticut</u>	<u>Appointment Expires</u>
----------------------------------	----------------------------

Erling Smith	June 30, 2007 (4)
Lisa Aultman-Hall	June 30, 2006 (5)
<i>Council Chairman for 2005-2006</i>	
Ian Greenshields	June 30, 2008 (6)
John T. DeWolf	June 30, 2008 (7)

Notes:

- (1) Arthur W. Gruhn replaced James F. Byrnes, Jr., who resigned from Council on 1/28/2002, when he became Acting Commissioner of Transportation.
- (2) L. Brian Castler replaced Gerard W. Hayes on 9/1/2003, after Hayes received a special assignment to work on the implementation of Core-CT until his deferred early retirement becomes effective on 6/1/2004.
- (3) H. James Boice replaced Stuart D. Leland, who retired from state service on 6/1/2003.
- (4) Erling Smith, Chairman of the Department of Civil and Environmental Engineering, replaced Kazem Kazerounian (resigned from Council, 12/01) and served out Kazerounian's term, which ended 7/1/2004, then was reappointed to 3-year term.
- (5) Lisa Aultman-Hall, newly appointed Director of the Connecticut Transportation Institute (CTI), replaced Christian F. Davis, outgoing Interim Director of CTI, (Aultman-Hall appointed 9/1/2003) and served out Davis's term, which ended 7/1/2004, then was reappointed to 2-year term.
- (6) Ian Greenshields replaced George Hoag, effective 2/11/2004, and completed his term ending 7/1/2004, then was reappointed to 1-year term, followed by a 3-year term. Hoag had resigned effective 12/31/2003. G. Hoag had replaced Greg Frantz (resigned from Council, 12/01) and had served out Frantz's 3-year term, ending 7/1/2002, and had been reappointed.
- (7) John T. DeWolf was appointed to replace John N. Ivan at the end of Ivan's 3-year term, 7/1/2002, and then was reappointed twice to 3-year terms. Ivan had replaced Jack E. Stephens on 7/1/1999.
- (\*) Ex-officio, non-voting committee secretary

JHRAC 'New' Project Pre-proposal Format

- I. PRE-PROPOSAL TITLE: Provide a suggested title in as few words as possible.
- II. PRINCIPAL INVESTIGATOR(S): Provide names and resumes (include only relevant research).
- III. RESEARCH PROBLEM STATEMENT: Provide a statement of the general problem or need, which will be addressed by the proposal. It should be a problem, issue or need related to Connecticut's transportation system.
- IV. RESEARCH OBJECTIVES AND APPROACH: Provide a clear and specific statement of the objectives of the research. Describe the research approach in sufficient detail to allow an evaluation to be made of the likelihood that the approach will achieve the objectives of the research.
- V. ESTIMATE OF FUNDING NEEDED: Provide an estimate of the funds necessary to accomplish the objectives stated in above for each year of proposed research and the total through completion of the project. The estimate should include the cost of printing the following required reports: Draft Final Report (three [3] copies), Final Report (forty-five [45] copies). *Note: The budget year is June 1 - May 31.*
- VI. RESEARCH PERIOD: Provide an estimate of the number of months necessary to complete the research project including preparation of a draft final report, its review by the Connecticut Department of Transportation's technical staff and subsequent completion of the final report.
- VII. URGENCY AND PAYOFF POTENTIAL: Provide a description of the urgency of the need for this research in relation to the transportation needs of the State of Connecticut and, if possible, the potential for payoff in benefit/cost terms.
- VIII. KEY WORDS TO BE USED FOR LITERATURE SEARCH: Provide the key words that can be used to conduct a search of the Transportation Research Board's electronic database (TRIS) for completed, related research.

*Note: Two to three pages should be sufficient to provide the above information.  
Proposal and Pre-Proposal submissions must be in electronic format, preferably Adobe PDF.*

## JHRAC Procedure to Screen 'New' Project Pre-Proposals

Screening provides the opportunity for a full discussion of the pre-proposals by the JHRAC and a preliminary evaluation/screening of each of the pre-proposals.

The unranked screening is to be carried out following a discussion of each of the proposals and the application of the following criteria:

## CRITERIA:

- Does the proposal address a need at ConnDOT?  
☐ Yes                      ☐ No                      ☐ Uncertain
- Is the proposal consistent with the research/teaching/service mission of UConn?  
☐ Yes                      ☐ No                      ☐ Uncertain
- Is the proposal's budget consistent with the work described?  
☐ Yes                      ☐ No                      ☐ Uncertain
- Is the proposal's budget consistent with the funding capability of the Cooperative Research Program?  
☐ Yes                      ☐ No                      ☐ Uncertain
- Is the proposal's methodology technically sound (is it likely to achieve the objectives of the proposal)?  
☐ Yes                      ☐ No                      ☐ Uncertain
- Are the facilities and personnel of sufficient caliber to achieve the objectives of the proposal?  
☐ Yes                      ☐ No                      ☐ Uncertain

NOTE: A unanimous "no" answer to any of the above would be the cause for the JHRAC to reject or to request a rewriting at the time a full proposal is prepared.

JHRAC Peer Review Procedure for 'New' Project Proposals  
Revised for 2000-2001 Program Year

COUNCIL OBJECTIVE: To make better-informed project-selection decisions through a peer review of new-project proposals.

NUMBER OF REVIEWERS:

- I. Two (2) academics outside the University of Connecticut with expertise in the field/specialty area addressed by the pre-proposal.
- II. Two (2) practitioners outside the Connecticut Department of Transportation with expertise in the field/specialty area addressed by the pre-proposal.

REVIEWER NOMINATIONS:

Nominations may be made by JHRAC members, principal investigators named in the pre-proposals, or other solicitations.

REVIEWER SELECTION:

- I. A peer review selection committee shall be formed annually. Membership shall be the four (4) University members of the JHRAC plus the Secretary of the JHRAC.
- II. Decisions of the committee shall be by simple majority vote.

REVIEWER NOTIFICATION:

University staff at the Connecticut Transportation Institute shall be responsible for the follow-up solicitations of selected reviewers and providing copies of the pre-proposals with guidance on the peer review sought by the JHRAC.

PEER REVIEW CRITERIA:

- Concept of the Problem
- Research Approach
- Application of Results (potential for successful implementation)
- Qualifications of Principal Investigators
- Facilities and Equipment (adequacy)

Reviewers prepare written comments for each criterion and apply a five-point numerical rating scale: 5(excellent), 4(very good), 3(good), 2(fair), and 1(poor).

New for 2000-2001, reviewers are asked to also answer the following two questions:

- In your opinion, does the proposed project appear to repeat previous or ongoing research with little or no advancement? Yes \_\_\_ No \_\_\_
- In you opinion, will the proposed project likely lead to significant improvement in the state-of-the-art? Yes \_\_\_ No \_\_\_



## JHRAC Procedure to Rank-Order 'New' Project Proposals

Researchers whose 'new' project pre-proposals passed the Council screening are requested to prepare and submit full proposals. Proposals for "new" projects are peer reviewed and subsequently rank-ordered by each of the JHRAC members with rank-order "1" assigned to the proposal having the highest priority for funding. The ranking is carried out individually by the JHRAC members and completed no later than one week prior to the JHRAC meeting where final project selections are made for the annual work program.

CTI personnel prepare a summary of the results of the above rank ordering of the proposals and distribute it to JHRAC members for use at the JHRAC meeting in selection of the proposals to be funded.

### CRITERIA:

The following criteria are taken into account in arriving at the rank ordering:

- The relative importance and timeliness of the proposal in regard to addressing one or more of the transportation needs facing the State of Connecticut.
- The likelihood that the proposal will lead to new discoveries or fundamental advances.
- The degree to which the proposal's budget is consistent with the work described and with the funding capability of the Cooperative Research Program (does not require an inordinate portion of the available funds).
- The results of the Peer Review.

### Council Procedural Guidance - Frequently Asked Questions:

1. When a faculty member is acting as both a Council member and a research proposer (PI), can another faculty member be substituted on the Council to provide an independent ranking of JHRAC proposals?

Answer: Council has no objection to UConn developing this internal procedure, and would recognize the input of a substitute Council-member. [Council minutes, 3/16/2000]